

# Invitation to Quote



**Invitation to Quote (ITQ) on behalf of UK Research and Innovation**  
**Subject: Geospatial Commission Geo6 Licensing – Year 2 (FY 2019 – 20)**  
**Sourcing Reference Number: UK SBS CS19212**



**UK Shared Business Services Ltd (UK SBS)**  
[www.uksbs.co.uk](http://www.uksbs.co.uk)

Registered in England and Wales as a limited company. Company Number 6330639.  
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VAT registration GB618 3673 25  
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Version 3.6

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# Section 1 – About UK Shared Business Services

## Putting the business into shared services

UK Shared Business Services Ltd (UK SBS) brings a commercial attitude to the public sector; helping our Contracting Authorities improve efficiency, generate savings and modernise.

It is our vision to become the leading service provider for the Contracting Authorities of shared business services in the UK public sector, continuously reducing cost and improving quality of business services for Government and the public sector.

Our broad range of expert services is shared by our Contracting Authorities. This allows Contracting Authorities the freedom to focus resources on core activities; innovating and transforming their own organisations.

Core services include Procurement, Finance, Grants Admissions, Human Resources, Payroll, ISS, and Property Asset Management all underpinned by our Service Delivery and Contact Centre teams.

UK SBS is a people rather than task focused business. It's what makes us different to the traditional transactional shared services centre. What is more, being a not-for-profit organisation owned by the Department for Business, Energy & Industrial Strategy (BEIS), UK SBS' goals are aligned with the public sector and delivering best value for the UK taxpayer.

UK Shared Business Services Ltd changed its name from RCUK Shared Services Centre Ltd in March 2013.

## Our Customers

Growing from a foundation of supporting the Research Councils, 2012/13 saw Business, Energy and Industrial Strategy (BEIS) transition their procurement to UK SBS and Crown Commercial Services (CCS – previously Government Procurement Service) agree a Memorandum of Understanding with UK SBS to deliver two major procurement categories (construction and research) across Government.

UK SBS currently manages £700m expenditure for its Contracting Authorities. Our Contracting Authorities who have access to our services and Contracts are detailed [here](#).

## **Privacy Statement**

At UK Shared Business Services (UK SBS) we recognise and understand that your privacy is extremely important and we want you to know exactly what kind of information we collect about you and how we use it.

This privacy notice link below details what you can expect from UK SBS when we collect your personal information.

- We will keep your data safe and private.
- We will not sell your data to anyone.

- We will only share your data with those you give us permission to share with and only for legitimate service delivery reasons.

<https://www.uksbs.co.uk/use/pages/privacy.aspx>

For details on how the Contracting Authority protect and process your personal data please follow the link below:

<https://www.ukri.org/privacy-notice/>

## Section 2 – About the Contracting Authority

### UK Research and Innovation

Operating across the whole of the UK and with a combined budget of more than £6 billion, UK Research and Innovation represents the largest reform of the research and innovation funding landscape in the last 50 years.

As an independent non-departmental public body UK Research and Innovation brings together the seven Research Councils (AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC) plus Innovate UK and a new organisation, Research England.

UK Research and Innovation ensures the UK maintains its world-leading position in research and innovation. This is done by creating the best environment for research and innovation to flourish.

For more information, please visit: [www.ukri.org](http://www.ukri.org)

### Natural Environment Research Council (NERC)

NERC is the driving force of investment in environmental science. Their leading research, skills and infrastructure help solve major issues and bring benefits to the UK, such as affordable clean energy, air pollution, and resilience of our infrastructure.

<https://nerc.ukri.org/>

## Section 3 - Working with the Contracting Authority.

In this section you will find details of your Procurement contact point and the timescales relating to this opportunity.

Section 3 – Contact details		
3.1	Contracting Authority Name and address	UK Research and Innovation, Polaris House, North Star Avenue, Swindon, Wiltshire, SN2 1FL
3.2	Buyer name	Sharon West
3.3	Buyer contact details	<a href="mailto:professionalservices@uksbs.co.uk">professionalservices@uksbs.co.uk</a>
3.4	Estimated value of the Opportunity	£60,000.00 excluding VAT
3.5	Process for the submission of clarifications and Bids	<b>All correspondence shall be submitted within the Emptoris e-sourcing tool. Guidance Notes to support the use of Emptoris is available <a href="#">here</a>. Please note submission of a Bid to any email address including the Buyer <u>will</u> result in the Bid <u>not</u> being considered.</b>

Section 3 - Timescales		
3.6	Date of Issue of Contract Advert and location of original Advert	Tuesday 2nd July 2019
3.7	Latest date/time ITQ clarification questions shall be received through Emptoris messaging system	Monday 8 <sup>th</sup> July 2019 11:00hrs GMT
3.8	Latest date/time ITQ clarification answers should be sent to all Bidders by the Buyer through Emptoris	Wednesday 10 <sup>th</sup> July 2019 14:00hrs GMT
3.9	Latest date/time ITQ Bid shall be submitted through Emptoris	Monday 15 <sup>th</sup> July 2019 14:00hrs GMT
3.11	Anticipated notification date of successful and unsuccessful Bids	Thursday 25 <sup>th</sup> July 2019
3.12	Anticipated Award date	Thursday 25 <sup>th</sup> July 2019
3.13	Anticipated Contract Start date	Thursday 8 <sup>th</sup> July 2019
3.14	Anticipated Contract End date	Tuesday 31 <sup>st</sup> March 2020
3.15	Bid Validity Period	60 Days

## Section 4 – Specification

### Introduction

The British Geological Survey (BGS) is a world-leading geological survey. It focuses on public-good science for government, and research to understand earth and environmental processes.

It is the UK's premier provider of objective and authoritative geoscientific data, information and knowledge to help society to:

- use its natural resources responsibly
- manage environmental change
- be resilient to environmental hazards

The BGS provides expert services and impartial advice in all areas of geoscience. Our client base is drawn from the public and private sectors both in the UK and internationally.

The Geospatial Commission has been established as an enduring and impartial expert committee within the Cabinet Office tasked with setting the UK's National Geospatial Strategy. The Commission has six Partner Bodies (the "Geo6"): British Geological Survey, Coal Authority, HM Land Registry, Ordnance Survey, UK Hydrographic Office and the Valuation Office Agency. The Geospatial Commission have commissioned, via a commercial contract, BGS and the remaining Geo6 partners to deliver on a number of projects that will contribute towards its task of setting the UK's National Geospatial Strategy.

### Project

The strategic aim for one of these projects is for the Geo6 partners to review how they supply their data under licence, and to wherever possible align their terms and conditions and any access constraints. It is envisaged that this will contribute towards improved access to and interoperability of licensable geospatial data for end users. BGS are the lead partner for this project, and are coordinating and managing the different deliverables within the project. Four of the five deliverables are related to the generation of harmonised data licence terms; these are being fulfilled directly by the Geo6 partners. The fifth deliverable is very separate to this and involves researching the potential use of automating licensing and digital rights management. None of the participating Geo6 partners have any experience in this field, and so this request reaches out for external advice.

### Outline of work under this request

This request is for an external body to conduct a detailed review of the current state of play related to automating licensing and rights management to deliver a report on

recommendations for developing and implementing a new digital rights standard for geospatial data.

## **Background**

Digital Rights Management (DRM) is a technical solution to control access to digital content and to protect the intellectual properties of its creators. Essentially DRM is a mechanism that allows publishers to control use of their content as they intend, whether that be to restrict who, how and/or when users access digital content. For example, DRM can be used to control the expiration date, the number of times a user can access the content file, the resolution of the content that can be played on a screen, the type of screen that content is rendered to, and many other control settings. Content streaming media platforms including Netflix, PlayStation Network, Amazon's Kindle and Spotify all have some form of DRM that controls how the digital content is accessed.

Rights definition languages are part of the toolkit to enforce DRM; they define the specification that enables a DRM to be delivered in a machine readable standard. A number of rights definition languages already exist including the W3C standard: Open Digital Rights Language (ODRL). A recent review of ODRL under a previous Geospatial Commission funded project concluded that:

- There are no established examples of where ODRL has been used to control access to geospatial data.
- While already defined, ODRL is complicated and currently not fit for purpose for Geo6 partner licences.

Despite this, the Geospatial Commission are keen to explore how a rights definition language could control and deliver access rights associated with Geo6 partner data. While there is an appreciation that ODRL may not currently be fit for purpose, there are elements that can be used. The concept of developing or adopting a standard to deliver machine readable licence has considerable interest and is the focus of this request. As this is a relatively young concept, any future research to develop a rights definition language should not happen in isolation, but be broadened out to as wide an audience as possible.

This request can be summarised as both:

1. A detailed review of the current state of play related to automating licensing and digital rights management, which will include consultation with the key stakeholders within the GB data licensing community.
2. Deliver a report on recommendations for developing and implementing a standard for digital rights management of geospatial data, with a suggested roadmap for implementation.

The request is split into three phases, each with the following deliverables:



Phase	Description	Deliverable
1	Creation of, and engagement with, an appropriate stakeholder group.	Generation (and evidence) of a stakeholder map/group to ensure engagement with relevant parties.
2	Review and assessment of previous work associated with digital rights management.	Delivery of an interim report on existing 'digital rights' standards with an assessment as to whether they are fit for purpose for geospatial data licensing.
3	Generate recommendations and a roadmap for the future development of a digital rights management system for geospatial data.	Delivery of a final report containing: I. recommendations for a digital rights management system for geospatial data, II. with a roadmap for future development and implementation.

### **Scope**

- We are expecting all phases and deliverables to be completed under a single sub-contract delivered by one provider.
- The provider is expected to use their own equipment and software to complete the tasks.
- The provider is not expected to have cyber essentials accreditation.
- The provider is expected to create or leverage their own stakeholder group under phase 1.
- The contracting body (UKRI - BGS) already has financial provision to set up and deliver two stakeholder meetings (UK based); the provider is not expected to cost these into their bid.

### **Timetable**

- All deliverables must be complete by 1<sup>st</sup> March 2020 to allow the project manager time to review against the acceptance criteria and request changes.
- Payment can be made on a staged basis on successful completion of each phase.
- All travel and subsistence must be in line with the UKRI Travel policy as detailed in Appendix 1
- The exact dates for completion of each phase can be proposed by the bidders as part of their response, however the work should be spread over the full project period (8<sup>th</sup> August 2019 to 31<sup>st</sup> March 2020), and neither front nor end loaded.

### **Terms and Conditions**

Bidders are to note that any requested modifications to the Contracting Authority Terms and Conditions on the grounds of statutory and legal matters only, shall be raised as a formal clarification during the permitted clarification period.

## Section 5 – Evaluation model

The evaluation model below shall be used for this ITQ, which will be determined to two decimal places.

Where a question is 'for information only' it will not be scored.

The evaluation team may comprise staff from UK SBS and the Contracting Authority and any specific external stakeholders the Contracting Authority deems required. After evaluation the scores will be finalised by performing a calculation to identify (at question level) the mean average of all evaluators (Example – a question is scored by three evaluators and judged as scoring 5, 5 and 6. These scores will be added together and divided by the number of evaluators to produce the final score of 5.33 ( $5+5+6=16 \div 3 = 5.33$ ))

Pass / fail criteria		
Questionnaire	Q No.	Question subject
Commercial	SEL1.2	Employment breaches/ Equality
Commercial	FOI1.1	Freedom of Information Exemptions
Commercial	AW1.1	Form of Bid
Commercial	AW1.3	Certificate of Bona Fide Bid
Commercial	AW3.1	Validation check
Commercial	SEL3.11	Compliance to Section 54 of the Modern Slavery Act
Commercial	SEL3.13	General Data Protection Regulations (GDPR)
Commercial	AW4.1	Contract Terms Part 1
Commercial	AW4.2	Contract Terms Part 2
Quality	AW6.1	Compliance to the Specification
Quality	AW6.2	Variable Bids
-	-	Invitation to Quote – received on time within e-sourcing tool

## Scoring criteria

### Evaluation Justification Statement

In consideration of this particular requirement the Contracting Authority has decided to evaluate Potential Providers by adopting the weightings/scoring mechanism detailed within this ITQ. The Contracting Authority considers these weightings to be in line with existing best practice for a requirement of this type.

Questionnaire	Q No.	Question subject	Maximum Marks
Price	AW5.2	Price	10%
Quality	PROJ1.1	Creation of and engagement with a stakeholder group	20%
Quality	PROJ1.2	Review and assessment of previous work associated with digital rights management	20%
Quality	PROJ1.3	Generate recommendations for the future development of a digital rights management system for geospatial data	40%
Quality	PROJ1.4	Application of skills and expertise	10%

## Evaluation of criteria

### Non-Price elements

Each question will be judged on a score from 0 to 100, which shall be subjected to a multiplier to reflect the percentage of the evaluation criteria allocated to that question.

Where an evaluation criterion is worth 20% then the 0-100 score achieved will be multiplied by 20%.

Example if a Bidder scores 60 from the available 100 points this will equate to 12% by using the following calculation:

$$\text{Score} = \{\text{weighting percentage}\} \times \{\text{bidder's score}\} = 20\% \times 60 = 12$$

The same logic will be applied to groups of questions which equate to a single evaluation criterion.

The 0-100 score shall be based on (unless otherwise stated within the question):

0	The Question is not answered, or the response is completely unacceptable.
10	Extremely poor response – they have completely missed the point of the question.
20	Very poor response and not wholly acceptable. Requires major revision to the response to make it acceptable. Only partially answers the requirement, with major deficiencies and little relevant detail proposed.
40	Poor response only partially satisfying the selection question requirements with deficiencies apparent. Some useful evidence provided but response falls well short of expectations. Low probability of being a capable supplier.
60	Response is acceptable but remains basic and could have been expanded upon. Response is sufficient but does not inspire.
80	Good response which describes their capabilities in detail which provides high levels of assurance consistent with a quality provider. The response includes a full description of techniques and measurements currently employed.
100	Response is exceptional and clearly demonstrates they are capable of meeting the requirement. No significant weaknesses noted. The response is compelling in its description of techniques and measurements currently employed, providing full assurance consistent with a quality provider.

All questions will be scored based on the above mechanism. Please be aware that the final score returned may be different as there may be multiple evaluators and their individual scores will be averaged (mean) to determine your final score.

### Example

Evaluator 1 scored your bid as 60

Evaluator 2 scored your bid as 60

Evaluator 3 scored your bid as 40

Evaluator 4 scored your bid as 40

Your final score will  $(60+60+40+40) \div 4 = 50$

**Price elements** will be judged on the following criteria.

The lowest price for a response which meets the pass criteria shall score 100.

All other bids shall be scored on a pro rata basis in relation to the lowest price. The score is then subject to a multiplier to reflect the percentage value of the price criterion.

For example - Bid 1 £100,000 scores 100.

Bid 2 £120,000 differential of £20,000 or 20% remove 20% from price scores 80

Bid 3 £150,000 differential £50,000 remove 50% from price scores 50.

Bid 4 £175,000 differential £75,000 remove 75% from price scores 25.

Bid 5 £200,000 differential £100,000 remove 100% from price scores 0.

Bid 6 £300,000 differential £200,000 remove 100% from price scores 0.

Where the scoring criterion is worth 50% then the 0-100 score achieved will be multiplied by 50.

In the example if a supplier scores 80 from the available 100 points this will equate to 40% by using the following calculation: Score/Total Points multiplied by 50 ( $80/100 \times 50 = 40$ )

The lowest score possible is 0 even if the price submitted is more than 100% greater than the lowest price.

## **Section 6 – Evaluation questionnaire**

Bidders should note that the evaluation questionnaire is located within the **e-sourcing questionnaire**.

Guidance on completion of the questionnaire is available at  
<http://www.uksbs.co.uk/services/procure/Pages/supplier.aspx>

**PLEASE NOTE THE QUESTIONS ARE NOT NUMBERED SEQUENTIALLY**

## Section 7 – General Information

### What makes a good bid – some simple do's 😊

#### DO:

- 7.1 Do comply with Procurement document instructions. Failure to do so may lead to disqualification.
- 7.2 Do provide the Bid on time, and in the required format. Remember that the date/time given for a response is the last date that it can be accepted; we are legally bound to disqualify late submissions. Responses received after the date indicated in the ITQ shall not be considered by the Contracting Authority, unless the Bidder can justify that the reason for the delay, is solely attributable to the Contracting Authority
- 7.3 Do ensure you have read all the training materials to utilise e-sourcing tool prior to responding to this Bid. If you send your Bid by email or post it will be rejected.
- 7.4 Do use Microsoft Word, PowerPoint Excel 97-03 or compatible formats, or PDF unless agreed in writing by the Buyer. If you use another file format without our written permission, we may reject your Bid.
- 7.5 Do ensure you utilise the Emptoris messaging system to raise any clarifications to our ITQ. You should note that we will release the answer to the question to all Bidders and where we suspect the question contains confidential information we may modify the content of the question to protect the anonymity of the Bidder or their proposed solution
- 7.6 Do answer the question, it is not enough simply to cross-reference to a 'policy', web page or another part of your Bid, the evaluation team have limited time to assess bids and if they can't find the answer, they can't score it.
- 7.7 Do consider who the Contracting Authority is and what they want – a generic answer does not necessarily meet every Contracting Authority's needs.
- 7.8 Do reference your documents correctly, specifically where supporting documentation is requested e.g. referencing the question/s they apply to.
- 7.9 Do provide clear, concise and ideally generic contact details; telephone numbers, e-mails and fax details.
- 7.10 Do complete all questions in the questionnaire or we may reject your Bid.
- 7.11 Do ensure that the Response and any documents accompanying it are in the English Language, the Contracting Authority reserve the right to disqualify any full or part responses that are not in English.
- 7.12 Do check and recheck your Bid before dispatch.



## What makes a good bid – some simple do not's Ⓜ

### DO NOT

- 7.13 Do not cut and paste from a previous document and forget to change the previous details such as the previous buyer's name.
- 7.14 Do not attach 'glossy' brochures that have not been requested, they will not be read unless we have asked for them. Only send what has been requested and only send supplementary information if we have offered the opportunity so to do.
- 7.15 Do not share the Procurement documents, they are confidential and should not be shared with anyone without the Buyers written permission.
- 7.16 Do not seek to influence the procurement process by requesting meetings or contacting UK SBS or the Contracting Authority to discuss your Bid. If your Bid requires clarification the Buyer will contact you. All information secured outside of formal Buyer communications shall have no Legal standing or worth and should not be relied upon.
- 7.17 Do not contact any UK SBS staff or the Contracting Authority staff without the Buyers written permission or we may reject your Bid.
- 7.18 Do not collude to fix or adjust the price or withdraw your Bid with another Party as we will reject your Bid.
- 7.19 Do not offer UK SBS or the Contracting Authority staff any inducement or we will reject your Bid.
- 7.20 Do not seek changes to the Bid after responses have been submitted and the deadline for Bids to be submitted has passed.
- 7.21 Do not cross reference answers to external websites or other parts of your Bid, the cross references and website links will not be considered.
- 7.22 Do not exceed word counts, the additional words will not be considered.
- 7.23 Do not make your Bid conditional on acceptance of your own Terms of Contract, as your Bid will be rejected.
- 7.24 Do not unless explicitly requested by the Contracting Authority either in the procurement documents or via a formal clarification from the Contracting Authority send your response by any way other than via e-sourcing tool. Responses received by any other method than requested will not be considered for the opportunity.

## Some additional guidance notes

- 7.25 All enquiries with respect to access to the e-sourcing tool and problems with functionality within the tool must be submitted to Crown Commercial Service (previously Government Procurement Service), Telephone 0345 010 3503.
- 7.26 Bidders will be specifically advised where attachments are permissible to support a question response within the e-sourcing tool. Where they are not permissible any attachments submitted will not be considered as part of the evaluation process.
- 7.27 Question numbering is not sequential and all questions which require submission are included in the Section 6 Evaluation Questionnaire.
- 7.28 Any Contract offered may not guarantee any volume of work or any exclusivity of supply.
- 7.29 We do not guarantee to award any Contract as a result of this procurement
- 7.30 All documents issued or received in relation to this procurement shall be the property of the Contracting Authority. / UKSBS.
- 7.31 We can amend any part of the procurement documents at any time prior to the latest date / time Bids shall be submitted through Emptoris.
- 7.32 If you are a Consortium you must provide details of the Consortiums structure.
- 7.33 Bidders will be expected to comply with the Freedom of Information Act 2000 or your Bid will be rejected.
- 7.34 Bidders should note the Government's transparency agenda requires your Bid and any Contract entered into to be published on a designated, publicly searchable web site. By submitting a response to this ITQ Bidders are agreeing that their Bid and Contract may be made public
- 7.35 Your bid will be valid for 60 days or your Bid will be rejected.
- 7.36 Bidders may only amend the contract terms during the clarification period only, only if you can demonstrate there is a legal or statutory reason why you cannot accept them. If you request changes to the Contract terms without such grounds and the Contracting Authority fail to accept your legal or statutory reason is reasonably justified, we may reject your Bid.
- 7.37 We will let you know the outcome of your Bid evaluation and where requested will provide a written debrief of the relative strengths and weaknesses of your Bid.
- 7.38 If you fail mandatory pass / fail criteria we will reject your Bid.
- 7.39 Bidders are required to use IE8, IE9, Chrome or Firefox in order to access the functionality of the Emptoris e-sourcing tool.
- 7.40 Bidders should note that if they are successful with their proposal the Contracting Authority reserves the right to ask additional compliancy checks prior to the award of any Contract. In the event of a Bidder failing to meet one of the compliancy checks

the Contracting Authority may decline to proceed with the award of the Contract to the successful Bidder.

- 7.41 All timescales are set using a 24-hour clock and are based on British Summer Time or Greenwich Mean Time, depending on which applies at the point when Date and Time Bids shall be submitted through Emptoris.
- 7.42 All Central Government Departments and their Executive Agencies and Non-Departmental Public Bodies are subject to control and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a cross-Government role delivering overall Government policy on public procurement - including ensuring value for money and related aspects of good procurement practice.

For these purposes, the Contracting Authority may disclose within Government any of the Bidders documentation/information (including any that the Bidder considers to be confidential and/or commercially sensitive such as specific bid information) submitted by the Bidder to the Contracting Authority during this Procurement. The information will not be disclosed outside Government. Bidders taking part in this ITQ consent to these terms as part of the competition process.

- 7.43 The Government introduced its new Government Security Classifications (GSC) classification scheme on the 2<sup>nd</sup> April 2014 to replace the current Government Protective Marking System (GPMS). A key aspect of this is the reduction in the number of security classifications used. All Bidders are encouraged to make themselves aware of the changes and identify any potential impacts in their Bid, as the protective marking and applicable protection of any material passed to, or generated by, you during the procurement process or pursuant to any Contract awarded to you as a result of this tender process will be subject to the new GSC. The link below to the Gov.uk website provides information on the new GSC:

<https://www.gov.uk/government/publications/government-security-classifications>

The Contracting Authority reserves the right to amend any security related term or condition of the draft contract accompanying this ITQ to reflect any changes introduced by the GSC. In particular where this ITQ is accompanied by any instructions on safeguarding classified information (e.g. a Security Aspects Letter) as a result of any changes stemming from the new GSC, whether in respect of the applicable protective marking scheme, specific protective markings given, the aspects to which any protective marking applies or otherwise. This may relate to the instructions on safeguarding classified information (e.g. a Security Aspects Letter) as they apply to the procurement as they apply to the procurement process and/or any contracts awarded to you as a result of the procurement process.

#### **USEFUL INFORMATION LINKS**

- [Emptoris Training Guide](#)
- [Emptoris e-sourcing tool](#)
- [Contracts Finder](#)
- [Equalities Act introduction](#)
- [Bribery Act introduction](#)
- [Freedom of information Act](#)

# UK Research and Innovation

## TRAVEL, SUBSISTENCE AND EXPENSES POLICY

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## TRAVEL, SUBSISTENCE AND EXPENSES

### Policy Statement

UK Research and Innovation (UKRI) may require employees to travel on official business and will reimburse claimants for the costs of travelling. The preferred purchasing route for travel services is through the UKRI appointed agents, who will be paid directly. Travel and subsistence claims, as all UKRI expenditure, are met from public funds, and attract public attention therefore it is imperative that there is full compliance with this policy and that claims are processed in a consistent and effective manner. All those travelling on UKRI business and making claims under this policy are expected to recognise their obligations to consider whether the trip is necessary, to consider alternative, cheaper options, and to make claims only in respect of costs properly incurred. Claimants should be aware that travel and expenses claims may be disclosed under the Freedom of Information Act (see section 13).

In line with the organisations commitment to environmental sustainability, claimants are encouraged to consider and try to minimise environmental impact of journeys made on behalf of UKRI (see section 4.3)

This document incorporates the policy for travel on UKRI business, including related aspects such as overnight accommodation. The purpose is to achieve travellers' service requirements in the most convenient and cost-effective manner. The organisation will reimburse the actual additional costs necessarily incurred by claimants when they are away from home or their normal place of work on UKRI business.

This policy applies to all UKRI employees of a permanent and temporary nature. It may also apply to non UKRI employees such as visitors, agency staff, and students. For advice on the application of the Policy contact the UKRI HR team.

The Travel, Subsistence, and Expenses policy has been agreed with the Trade Union Side and complies with statutory legislation and HM Revenue & Customs requirements.

The UK Shared Business Services (UK SBS) provides HR Services across UKRI. However some employees are deployed at establishments/facilities/ships that do not access services from SBS. In these cases references to the SBS or System will not apply and employees should refer to their UKRI HR team for assistance.

## TRAVEL, SUBSISTENCE AND EXPENSES

### 1. Principles

- 1.1 The objectives of UKRI Travel, Subsistence, and Expenses policy are:
- 1.2 To reimburse claimants promptly for expenses properly incurred on UKRI business;
- 1.3 To obtain maximum value for money from the UKRI's expenditure on travel and subsistence, within Government policy and taking account of the safety and wellbeing of employees and environmental considerations.
- 1.4 To ensure that the organisation's expenditure on travel and subsistence represents only the necessary and reasonable costs incurred by or on behalf of those who are properly engaged on UKRI business;
- 1.5 To minimise the cost of administering this expenditure, especially indirect costs represented by the time spent by claimants on making travel arrangements and submitting claims for reimbursement of expenses;
- 1.6 All expenses processed through UKRI accounts will be treated as if they were paid for by public funds irrespective of the actual source of funds.
- 1.7 The reimbursement of expenses is normally on a receipted actual basis (within the maximum limits stipulated in Appendix 2 or, in the case of overseas expenses, within the maximum limits set by the HMRC's benchmark [scale rate payments](#)). (See 1.9 for exceptions).
- 1.8 Reimbursement of expenses is regulated by the rules set out by HM Revenue & Customs (HMRC) and therefore this policy complies with those requirements.
- 1.9 Some of the provisions detailed within this policy are subject to tax in line with HMRC rules. Expenses paid to employees that are considered taxable will be reimbursed with the monthly salary payment and will be subject to Income Tax and National Insurance contributions. If an expense is reimbursed to a non-UKRI employee that is considered taxable, UKRI will notify the HMRC and the tax due will need to be paid to HMRC by the claimant.
- 1.10 Expenses will only be reimbursed if they are claimed in line with this policy.
- 1.11 The cost of travel between home and the normal place of work is the responsibility of the claimant and will not normally be reimbursed.
- 1.12 Expense claims are not to be used to purchase equipment, materials or services that should be bought through the normal procurement process e.g. computers, phones.
- 1.13 The organisation recognises that in exceptional circumstances (e.g. emergency situations, inability to obtain a receipt, travelling in certain countries abroad) a claimant may have to deviate from the UKRI's policy. In relation to travel abroad it should be discussed and agreed in advance whether claiming the HMRC daily rate would be more appropriate.
- 1.14 Individual claims must be approved and may be checked for compliance with the requirements of this policy.



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- 1.15 Localised policies that override the UKRI Travel, Subsistence, and Expenses policy are not permissible.

## 2. Definition of terms

### 2.1 Travel

- 2.1.1 The terms of this policy cover short visits away from the vicinity of the employee's usual place of work for up to a maximum of 30 working days on UKRI business. For visits lasting for more than 30 working days, please refer to section 8.1.

- 2.1.2 Also excluded is daily travel to and from an establishment or home visits at weekends when the employee is working on secondment.

### 2.2 Subsistence

- 2.2.1 The actual necessary and reasonable cost of meals and/or accommodation incurred by those engaged on official UKRI business, whilst away from the employee's normal place of work or other establishment where it has been agreed they will work for a fixed period.

### 2.3 Claimant

- 2.3.1 A person making a claim within the provisions of this policy.

### 2.4 Authorising manager

- 2.4.1 An individual appointed by the Director or his/her nominee will authorise all claims and provide justification where policy limits are non-compliant.

## 3. Claim forms

### 3.1 UKRI employees

- 3.1.1 All UKRI employees should submit their expenses via their relevant IT system.

### 3.2 Non- UKRI employees

- 3.2.1 Non-UKRI employees must submit their expenses claims on a **Non-Employee Expenses Claim Form** which is available on the system or accessed through UKRI HR or Finance teams.

### 3.3 Interview expenses

- 3.3.1 UKRI may offer to pay applicants' expenses to travel by the most economic route to the interview venue at the manager/units discretion. Interview related expenses should be claimed in line with this policy.

- 3.3.2 Applicants must submit their expenses claims on a **Non-Employee Expenses Claim Form**. (see 3.2.1 above)

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### **4. Travel claims**

#### **4.1 Travel approval**

- 4.1.1 All travel must be approved by the authorising manager prior to being booked and undertaken.
- 4.1.2 Establishments will have their own local arrangements for giving permission to travel on official UKRI business but in each case approval needs to be given by the authorising manager in accordance with the provisions of this policy.

#### **4.2 Mode of travel**

- 4.2.1 Claimants should use the recommended service for booking travel.
- 4.2.2 Claimants may choose their own form of transport subject to the overriding consideration of value for money, although the organisation's preference is for employees to use public transport or, where that is not practicable, to use UKRI owned vehicles or self-drive hire cars (where these are better value for money than using privately owned vehicles - see section 4.6 on insurance requirements). It is recognised that a combination of modes of travel may need to be used for particular journeys.
- 4.2.3 The use of taxis may be justified in certain circumstances (see paragraph 4.12).

#### **4.3 Environmental impact of travel**

- 4.3.1 Before booking travel claimants should consider whether the trip is necessary or whether teleconferencing or video conferencing offer a viable alternative.
- 4.3.2 When arranging travel, the organisation encourages claimants to use the mode of travel that results in the least environmental impact, as carbon dioxide from transport, particularly from air and road travel, is a key contributor to climate change.
- 4.3.3 Where choosing a more environmentally friendly mode of travel results in an increase in costs, the employee must raise this in advance of making any bookings, with their authorising manager.

#### **4.4 Public transport - Class of travel**

- 4.4.1 Claimants are normally expected to travel standard class by train and economy or, for longer flights, premium economy class by air (see section 4.6 below). All claimants should actively seek value for money where it is practical and feasible.
- 4.4.2 Claimants should refer to section 4.5 below regarding the exclusion of first and business class travel.
- 4.4.3 All air travel should be booked through the UKRI's recommended service.
- 4.4.4 All rail travel should be booked through UKRI's recommended service.



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- 4.4.5 It is recognised that this may not be possible at short notice or when the claimant is away from the office. In these circumstances the claimant may purchase the ticket and recharge the cost.

### 4.5 Exclusion of business and first-class travel

- 4.5.1 UKRI employees and other claimants are not permitted to travel by first class on any form of transport including air and rail. This exclusion also applies to business class air travel.
- 4.5.2 Alternatives to first class travel must be sought in all but exceptional circumstances.
- 4.5.3 Exceptions to this include where a claimant with a medical condition or disability requires first class travel or an employee requires a single berth sleeper cabin. The claimant must seek authorisation from their Director or appropriate authorising manager prior to booking these.
- 4.5.4 Travellers are welcome to upgrade from standard at their own expense (or use of personal reward miles). UKRI can only cover the cost of the standard fare.

### 4.6 Air travel - Class of ticket to be purchased:

- 4.6.1 For flights less than 5.5 hours only an economy ticket is permitted.
- 4.6.2 Where a flight is more than 5.5 hours economy or premium economy ticket is permitted for the entire journey. Exceptions will be considered, and claimant must seek authorisation from their Director or appropriate authorisation manager.

### 4.7 Privately owned vehicles

- 4.7.1 When undertaking a journey on UKRI business the driver is responsible for ensuring the vehicle is in a roadworthy condition. There is no obligation or expectation that privately owned vehicles should be used.
- 4.7.2 Claimants must ensure they comply with the provisions of the local's Driving and Use of Vehicles at Work policy/guidance, which provides an effective system of controlling the risk to employees who drive on UKRI business.
- 4.7.3 When using their own vehicle, claimants must ensure that it is licensed, appropriately insured (see section 4.7 and Appendix 1) and, if required, has a valid MOT certificate. Provided the insurance and ownership requirements are satisfied, claimants may use privately owned motor vehicles and claim the appropriate mileage allowance rate (see Appendix 2) except when:
- there is suitable UKRI provided transport readily available; or
  - there is room for another passenger in another vehicle which is to be used for an official journey over the same route at about the same time;
  - public transport is better value for money.

### 4.8 Insurance and ownership requirements

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4.8.1 Claimants who use their own vehicles on UKRI business are required to take out insurance cover for business use of the vehicle. It is a legal requirement that any vehicle user must be insured against liability in respect of any third party. It is the individual's personal responsibility to ensure that they fulfil the insurance and ownership requirements for using a private motor vehicle on official business. These are set out in Appendix 1.

4.8.2 Claimants are reminded that failure to adhere to these requirements is a disciplinary offence.

4.8.3 The formal undertaking (Appendix 1a) must be completed and handed to the designated person at the permanent place of work before any claimant first uses their private motor vehicle on official business.

### 4.9 Mileage allowances

4.9.1 Payment for using a privately owned vehicle(s) on official business will be by one of the ways set out below:

4.9.1.1 The HMRC's approved rates for payment of mileage allowances will be made for journeys when it is of benefit to UKRI for an individual's private car/motorcycle to be used;

4.9.1.2 Payment of a bicycle allowance for journeys when an individual uses a privately owned bicycle.

4.9.2 The allowances above are not subject to income tax or National Insurance contributions.

4.9.3 Details of the current rates of the allowances are set out at Appendix 2.

4.9.4 UKRI will only pay the HMRC approved mileage rate for the appropriate journey. These rates are subject to change by HMRC and such changes will be actioned by UKRI at the time they are made.

### 4.10 Passenger supplement

4.10.1 A passenger supplement per passenger per business mile, may be claimed in conjunction with the mileage allowances in 4.8 in respect of each official passenger carried whose fare would otherwise be payable from UKRI funds.

4.10.2 The current passenger supplement rate is listed in Appendix 2 of this document.

### 4.11 Parking, congestion charges, tolls, ferries and other driving-related penalties

4.11.1 Reasonable expenses incurred on parking, congestion charges, tolls and ferries may be claimed in respect of journeys which qualify for the mileage allowances in section 4.8 above. Receipts or other documentary evidence should be submitted as part of the claim.

4.11.2 Charges for overnight parking will be paid only when subsistence expenses are payable for the night(s) in question.

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- 4.11.3 Should an employee be liable for clamping or other parking / congestion charge penalty (e.g. because a meeting over runs or due to non-payment of a congestion charge) then reimbursement of the charge will not be made. Similarly, reimbursements will not be made to an employee who receives a fine or other financial penalty relating to an offence committed whilst driving on UKRI business (e.g. for speeding or for using a hand held mobile phone or similar device). Given the possible impact on the UKRI's vehicle insurance premium, employees are required to notify UKRI of any such offences and penalties.

### 4.12 Taxis and self-drive car hire

- 4.12.1 It is recognised that the use of taxis can be in the interest of UKRI (e.g. when the journey by public transport would be considerably longer and more difficult or if an employee has very heavy luggage, etc.).
- 4.12.2 Claimants who would find public transport impractical or inconvenient (e.g. claimants with disabilities) or those who would perceive themselves to be at higher risk should be reimbursed the cost of taxis. A receipt must be provided which must include journey details and dates.
- 4.12.3 Claimants should use the UKRI's recommended service for booking a hire car and may claim for the cost of the fuel for that specific journey.

### 4.13 Concessionary travel for additional or late attendances at work

- 4.13.1 The cost of travel between home and the normal place of work is the responsibility of the employee, and will not normally be reimbursed.
- 4.13.2 However, the cost of any extra (i.e. above that normally occurred in a working day) travelling expenses will be reimbursed if an employee is, for UKRI work reasons, obliged to:
- 4.13.2.1 return to the place of work at the weekend, for UKRI work reasons;
  - 4.13.2.2 return to the place of work again in the evening after already having travelled home from work earlier in the day;
  - 4.13.2.3 exceptionally remain late in the evening;
  - 4.13.2.4 return to the place of work on a public or privilege holiday.
- 4.12.3 When a day off is taken in lieu of having worked at the weekend, or on a public or privilege holiday, the normal daily travelling cost will not be reimbursed for the time at work since travelling costs will not have been incurred on the day off.
- 4.12.4 Claimants are not eligible for payment if:
- 4.12.4.1 they are attending as part of a regular rostered commitment; or
  - 4.12.4.2 they are in receipt of shift allowance which takes account of irregular attendance or hours.

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4.12.5 Payment for such extra travel between home and place of work is normally subject to income tax (exception - see paragraph 4.12.2). Claims must therefore be made using the UKRI arrangements for claiming taxable expenses.

4.12.6 However, claimants obliged to finish work after 2100 hours on an infrequent and irregular basis will be reimbursed necessary additional expenses, e.g. for taxi or hire car, of travel home tax free under the terms of the relevant HMRC concession. Detailed advice as to whether or not the concession can be applied can be obtained from the Payroll Manager at the UK SBS.

4.12.7 For the purposes of this concession, the requirements which should be met are:

4.12.7.1 late working is regarded by the HMRC as frequent if it occurs on more than 60 occasions in a tax year;

4.12.7.2 late working is regarded by the HMRC as regular if there is a predictable pattern.

### 4.13 During a public transport emergency

4.13.1 During a public transport emergency, claimants who are required to attend work and who thereby incur extra unavoidable travelling expenses will be reimbursed tax free under the terms of the relevant HMRC concession. Detailed advice as to whether or not the concession can be applied can be obtained from the UK SBS Payroll Manager.

### 4.14 Loyalty points awarded by airlines, hotel chains etc.

4.14.1 Claimants may not specify a particular supplier solely to gain Air Miles or any other loyalty points.

4.14.2 Air Miles or Loyalty Points which are accrued to an individual as a result of official travel on behalf of UKRI must only be used to offset the costs of future official journeys, and not for personal use.

4.14.3 The organisation will not reimburse claims where private Air Miles or Loyalty Points have been used for UKRI travel and the cash equivalent is sought upon redemption.

4.14.4 Where use of a personal credit card for payment attracts benefits associated with the card these are not covered by this section, but the overriding factor in choice of travel remains value for money.

## 5. Accommodation

### 5.1 Overnight accommodation – standards

5.1.1 When overnight accommodation is required it is normally expected that claimants at all levels will obtain accommodation which meets the standards set out in Appendix 3 at the most economical rate available.

5.1.2 Appendix 2 provides the maximum normal limits for accommodation rates in the UK. Where, in exceptional circumstances, these rates need to be exceeded this should be approved by the authorising manager prior to booking.



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- 5.1.3 A guide for overseas accommodation rates is available from the HMRC and these rates should be taken into account when booking accommodation.

### 5.2 Overnight accommodation - choice of hotels

- 5.2.1 The organisation expects claimants to use hotels at which discounts have been negotiated or to use centralised booking arrangements where these are available.
- 5.2.2 However, the preference of individual claimants in their choice of hotel will be respected subject to the overriding consideration of value for money.
- 5.2.3 Where such "discounted" accommodation is known to be available, reimbursement for bed and breakfast will be restricted to the amount that would have been spent if that accommodation had been used.
- 5.2.4 Flexibility may be applied in certain circumstances and claimants should discuss this with their authorising manager in advance, for example when:
- 5.2.4.1 discounted accommodation is not available
  - 5.2.4.2 claimants have disabilities
  - 5.2.4.3 there are other practical needs e.g. where an employee travelling alone may incur extra accommodation costs through safety and security need.
- 5.2.5 Employees may stay with friends or family, as an alternative to hotel accommodation (see Appendix 2).

### 5.3 Overnight accommodation - hotel costs

- 5.3.1 Subject to the restrictions set out in section 5.2 the actual costs incurred will be reimbursed.

## 6. Other subsistence

### 6.1 Day subsistence (meals and beverages)

- 6.1.1 Claimants may claim the reasonable costs of meals taken in the course of business travel provided that they are:
- 6.1.1.1 Absent from their normal place of work or other agreed place of work for a fixed period (e.g. if on secondment for a fixed period) for more than five hours; or
  - 6.1.1.2 Exceptionally, are required to work until 20.00 hours or later in addition to normal day duty (but are not staying away from home overnight). However, in these circumstances payment will be liable to income tax and claims must therefore be made using the UKRI's arrangements for claiming taxable expenses.
- 6.1.2 Meals should be of a reasonable cost and standard. Appendix 2 provides the maximum normal limits for meals expenses in the UK. This limit is inclusive of additional extras

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including tips. Where, in exceptional circumstances, these rates need to be exceeded this should be approved by the authorising manager.

### 6.1.3 Reimbursement will not be made to claimants:

- 6.1.3.1. working after 20:00 at their normal place of work if they work night duty instead of day duty;
- 6.1.3.2 working after 20:00 at their normal place of work, whose conditions of service require them to work at night, or to be on call at night, in addition to normal day duty;
- 6.1.3.3 who are in receipt of an accommodation allowance (see section 8.1) unless eligible because of absence from the place of work at which they are on an extended visit;

### 6.1.4 On the occasions where it is necessary for claimants to stay overnight in a hotel and/or where on official business (including travelling) outside normal working hours, the organisation will reimburse the cost of a reasonable evening meal within the limits listed in Appendix 2.

### 6.1.5 Reimbursement will not be made where a suitable meal is provided e.g. full board is provided.

### 6.1.6 Authorising managers may not authorise a claim for a meal (or similar) covering several people if they themselves were one of the party.

## 6.2 Tips and alcoholic beverages

### 6.2.3 Tips or discretionary service charges not exceeding 10% of the total bill will be reimbursed where such payment is included in the receipt, and are included in the limits of Appendix 2.

### 6.2.4 Expenditure on alcoholic beverages will only be reimbursed when drinks are taken with a meal, and are included in the limits of Appendix 2.

### 6.2.5 In relation to overseas travel the organisation recognises that in many foreign countries tipping is a key part of the service culture and is expected rather than discretionary; such costs will therefore be reimbursed. Claimants should annotate the receipt to show the value of the tip left; if there is no receipt they should state the amount of the tip on the travel claim form.

## 6.3 Personal Incidental Expenses (PIE)

### 6.3.3 Claimants required to stay overnight on UKRI business may claim a flat-rate Personal Incidental Expenses allowance to cover incidental out of pocket expenses.

### 6.3.4 When full board is included in the cost of the overnight stay, no subsistence will be reimbursed but a limited Personal Incidental Expenses will still be payable.

### 6.3.5 The current Personal Incidental Expenses allowance is listed in Appendix 2.

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### 7. Specific provisions for overseas travel

#### 7.1 Visa fees for overseas travel

- 7.1.1 Claimants required to travel overseas on UKRI business will be reimbursed the cost of visa fees when necessary for the travel on production of a receipt.

#### 7.2 Exchange rates

- 7.2.1 Where expenditure has been incurred in a foreign currency the claimant should use the exchange rate prevailing at the time that they purchased the currency, or incurred the expenditure to calculate the cost in British pounds. This calculation must be accompanied by supporting paperwork e.g. a receipt for changing currency, credit card statement.
- 7.2.2 Where there is no evidence of the specific exchange rate (as in paragraph 7.2.1) then the expense claim should be made in the currency of the receipt.

#### 7.3 Currency exchange commission

- 7.3.1 Claimants required to travel overseas on UKRI business will be reimbursed the cost of currency exchange commission when accompanied by a receipt/documentary evidence.

#### 7.4 Immunisation and inoculations for overseas travel

- 7.4.1 Claimants travelling overseas on UKRI business will be reimbursed the cost of any immunisation treatments required for the travel on production of receipts provided that the travel has been approved and the employee does not foresee any reason why they would not be able to travel overseas at the required time.
- 7.4.2 If the appointed UKRI Occupational Health Service is able to provide the immunisation treatment, claimants can be treated by the Service at no cost to the individual.

#### 7.5 Support from other bodies

- 7.5.1 An employee may, subject to the approval of his/her Director, or their nominee, apply to another body for expenses for attendance at overseas conferences.
- 7.5.2 Where such approval has been obtained, this may be stated in the application to the other body.
- 7.5.3 Claimants may not claim the same expenses from UKRI and another body.
- 7.5.4 There are occasions where UKRI buys a ticket for travel for a claimant and/or reimburses the claimant for the expenses, pending payment to the claimant by a third party. In these circumstances the claimant is obligated to repay the organisation at the earliest opportunity. Failure to repay expenses which have been met by the organisation and are then reimbursed by a third party may constitute fraud in line with section 9.3 of this policy.

#### 7.6 Overseas travel insurance

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- 7.6.1 Claimants (including non-UKRI employees) travelling overseas on approved UKRI businesses are usually covered by the UKRI Group Travel Insurance Scheme. If employees have any reason to suspect that they may not be covered by the Scheme, they should get in touch with their UKRI HR or Finance team.
- 7.6.2 The scheme covers personal accident, disablement and medical expenses as well as personal baggage, loss of money, cancellation, travel delays, passport indemnity, personal liability and legal expenses up to certain limits. All claimants must keep receipts if they want to claim any of these costs back.
- 7.6.3 Claimants will be given details of the policy and a card with all the contact details before they travel (this will be issued by local administration).
- 7.6.4 The organisation will not reimburse the cost of any additional insurance cover claimants wish to take out, for personal travel/holiday before or after their UKRI business trip.
- 7.6.5 The insurance policy only covers claimants on authorised UKRI business. Full details of the insurance scheme are available from the UKRI Finance or HR team.
- 8. Other expenses**
  - 8.1 Visits lasting more than 30 working days**
    - 8.1.1. When a visit from the normal place of work extends beyond 30 working days the arrangements described above will be replaced by a specially determined package.
    - 8.1.2 The Director will determine this package in consultation with the UKRI HR lead and the Finance team at the UK SBS.
    - 8.1.3 The Director (or nominee), with UK SBS, will also determine the arrangements for the reimbursement of living costs, accommodation and other related costs. Normally, the employee will be expected to move into self-catering accommodation.
  - 8.2 Other non-travel related expenditure**
    - 8.2.1 In line with the principles of this policy expense claims are not to be used to purchase equipment, materials or services that should be bought through the normal procurement process e.g. computers, phones.
    - 8.2.2 In exceptional circumstances (e.g. emergency situations) a claimant may, in the interests of research, need to purchase equipment and reclaim this via the expenses claim process. Such exceptional claims must be accompanied by an explanatory note from the Director or nominee.
    - 8.2.3 Reimbursement will be permitted if the explanation is accepted and the claim approved by the Director.
  - 8.3 Extension of business trip for personal reasons (including personal research)**
    - 8.3.1 An employee must use the normal holiday application process using the System when applying for an extension of a business trip for personal reasons.



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- 8.3.2 Incremental costs relating to extension must be paid for personally. It must be clearly demonstrated that UKRI business was the primary purpose of the visit. Leave records should be appropriately completed.
- 8.3.3 The UKRI insurance does not cover claimants for the additional days of any extension of a business trip for personal reasons.
- 8.3.4 Should the time spent on personal business in any one trip exceed seven days the claimant must contact the Payroll team at the UK SBS for guidance on the taxation position of any reimbursement made by the organisation.

### **8.4 Family travel**

- 8.4.1 The organisation will not meet any costs relating to the accompanying spouse/partner or family member of an employee travelling on UKRI business.
- 8.4.2 Where spouses or companions accompany UKRI employees, the costs must be separated appropriately e.g. if a single room costs £70 and a twin/double £100, the £30 difference must be deducted from the claim (or refunded to the Research Council, if paid initially via the Research Council's travel agent).

### **8.5 Miscellaneous travel related expenses**

- 8.5.1 Consideration will be given to the reimbursement of other travel related expenses not covered elsewhere in this policy.

## **9. How to claim reimbursement**

### **9.1 Claiming expenses and receipts**

- 9.1.1 Claims for the reimbursement of expenses from UKRI employees must be submitted via the relevant system, or where the employee does not have access to the System, via local arrangements.
- 9.1.2 Following submission of the claim, receipts must be sent to UK SBS. Receipts should be individually attached to the claim form and put into an envelope marked with claimant's name, Council and claim reference. Claimants are advised to keep a scanned copy or photocopy of the receipts submitted.
- 9.1.3 Small items of incidental expenditure, up to £5 total per day, can be claimed without a receipt if not available.
- 9.1.4 All expenditure over £5 must be accounted for with receipts. Reimbursement for items over £5 without receipts will only be met in exceptional circumstances. In each case the claimant should contact the Payroll Manager at the UK SBS to establish whether any tax liability will apply.
- 9.1.5 Any claims without receipts should be supported by evidence, if available. Claims should not be approved unless the authorising manager is satisfied that the expenditure was incurred wholly, exclusively and necessarily in the performance of the duties of the claimant's role in UKRI.

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- 9.1.6 Such claims will be referred to the Payroll team at the UK SBS, to adjudicate on the taxation position and to determine how reimbursement should be made. These claims may be deemed taxable through the PAYE system and tax will therefore be deducted from the claim.
- 9.1.7 Expense claims against transactions on credit card statements must be supported by individual original receipts.
- 9.1.8 Where a claimant incurs expenses when working at an establishment that is different from the one they are employed at, the claimant should claim expenses from their employing establishment.
- 9.2 Time limit for claims/reimbursement**
  - 9.2.1 Expenses claims should be submitted for payment within 60 days of the expense being incurred. Properly-completed and authorised claims will normally be paid within three working days.
  - 9.2.2 If, exceptionally, this proves to be impossible, the claim form should be accompanied by a brief note explaining the circumstances.
- 9.3 False/Fraudulent claims**
  - 9.3.1 All claimants are responsible for completing claims accurately.
  - 9.3.2 Any attempt to claim expenses in breach of the UKRI Travel, Subsistence, and Expenses policy or to assist another work colleague to breach the UKRI Travel, Subsistence, and Expenses policy will be considered a serious disciplinary offence and will be dealt with under the UKRI Disciplinary policy.
- 9.4 Travel/subsistence advances**
  - 9.4.1 UKRI processes are designed to ensure that an employee is not materially out of pocket for a significant period when travelling on business. For this reason, advance payment to cover anticipated costs of travel and subsistence will only be made in exceptional circumstances e.g. an extended period of overseas travel. In such cases, claimants can make an application for a travel and subsistence advance payment prior to travel, provided they have no reason to believe they will not be able to carry out such travel.
  - 9.4.2 The amount advanced will be determined by the organisation on a case-by-case basis; in all cases, it will be less than 100% of the anticipated travel and subsistence costs.
  - 9.4.3 Applications can be made on the appropriate form in the system.
  - 9.4.5 Advances should be ordered in time for the trip but not significantly prior to the trip.
  - 9.4.6 The authorised advance will be paid into the claimant's bank account
  - 9.4.7 After returning from travel the claimant should submit an expense claim and their receipts via the normal process, specifying the amount that they had already been advanced.

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9.4.8 Any overpayment will need to be reimbursed to UKRI by the claimant.

### 9.5 Reimbursement of cancellation charges

9.5.1 Where a claimant has unavoidably to cancel travel/accommodation plans and cancellation charges are incurred these will be reimbursed by UKRI if the following conditions are met: 1) claims are accompanied by supporting documentation, and 2) the authorising manager is satisfied that cancelling the travel/accommodation was unavoidable.

9.5.2 The claimant is expected to assist the organisation in recovering costs from the UKRI Group Travel Insurance scheme.

### 9.6 Claimants leaving the Research Council

9.6.1 All expenses claims must be authorised and submitted to the UK SBS prior to the claimant's last working day with UKRI. Claims received after this date will not be processed.

## 10. Claimants with disabilities

10.1 It is recognised that claimants with disabilities may have extra needs when travelling and staying in hotel accommodation. Therefore, as part of the UKRI Equalities and Diversity policy, claimants with disabilities who incur extra cost for facilities for the disabled will be reimbursed; these costs must be stated within the claim.

10.2 Claimants with disabilities should not suffer inconvenience resulting from the failure to apply discretion and flexibility. Where a claimant with a disability requires a mode of travel or accommodation which, although is more expensive for UKRI, they consider to be a more practical and convenient method of transport for them, the claimant should raise this with their authorising manager for discussion in advance of making any bookings. Once the authorising manager has given their approval, the employee can make arrangements and will be reimbursed for the cost for the agreed mode of transport and accommodation.

10.3 The insurance and ownership requirements in Appendix 1 must be met when using a private vehicle.

## 11. Application of the procedures

11.1 The aim of this policy is for fair and effective application of the procedures. All reasonable expenditure will be reimbursed and it is therefore important that all those who authorise claims share a consistent interpretation of what constitutes "reasonable".

## 12. Appeals

12.1 UKRI employees who consider that their claim or circumstances have not been considered or authorised fairly may follow the UKRI grievance procedure as a method of appeal against decisions taken. However, claimants are encouraged, in the first instance, to seek advice and guidance on their concerns from their UKRI HR team.

## 13. Disclosure of information relating to expenses claimed

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- 13.1 From time to time the organisation may be required to publish information relating to expenses claimed from UKRI by employees and non-UKRI employees, for instance in response to a Freedom of Information request.
- 13.2 In such cases the UKRI would normally release information at an aggregate or summary level.
- 13.3 Where a request involves the expenses of Directors, other senior managers and others who it may be possible to identify from the data, those involved will, wherever possible, be given the opportunity to comment in advance on the information likely to be released.
- 13.4 In any other instances where the public interest may favour disclosure the individuals affected would, wherever possible, be given the opportunity to comment on any information likely to be released.
- 13.5 Where copies of receipts or invoices are requested these will be made available as appropriate, taking into account any issues relating to personal data.

## 14. Review of policy

- 14.1 This policy will be regularly reviewed to incorporate any legislation changes. The TU may request that a policy is reviewed.

## 15. Amendment history

Version	Date	Comments/Changes
V2.0	November 2014	Para 1.3 Further clarification provided and reference made to HMRC who set overseas benchmark scale rates and not the Foreign and Commonwealth Office
V2.0	November 2014	Para 5.1.3 reference made to HMRC and not the Foreign and Commonwealth Office
V2.0	November 2014	Para 1.9 Final sentence removed, employees should refer to para 2.4
V2.0	November 2014	Para 7.2.2 Final sentence removed as the calculation of the exchange rate by UKSBS does not happen in practice.
V2.0	November 2014	Para 7.2.3 removed as the entering of claims onto the system is not policy related.
V2.0	November 2014	New Para 8.5 relating to miscellaneous travel related expenses
V2.0	November 2014	Appendix 2, Section 1 providing clarification that all rates include all expenses incurred in the use of a vehicle including fuel
V3.0	01 August 2015	Para 1.10 amended to confirm that all claims must be approved
V3.0	01 August 2015	Para 2.4.1 amended to confirm that all claims will be authorisation
V4.0	01 August 2017	Para 4.5.3 Delete "rail"
V4.0	01 August 2017	Para 4.5.4 Delete "to premium economy, business or first class"
V4.0	01 August 2017	New para 6.2.3

# UK Research and Innovation

## TRAVEL, SUBSISTENCE AND EXPENSES

V4.0	01 August 2017	Delete para 6.1.3d)
V4.0	01 August 2017	Amend para 6.1.4 to clarify meaning
Draft V4.1	January 2019	Replace Research Council with UKRI, section 4.5 include business in exclusion, insert class ticket guidance.
Draft V4.2	29 January 2019	Following review at T&Cs Working Group
V4.3	13 February 2019	Amendments to para 4.4, 4.5 and 4.6



## TRAVEL, SUBSISTENCE AND EXPENSES

### APPENDIX 1 - INSURANCE AND OWNERSHIP REQUIREMENTS TO BE FULFILLED BY CLAIMANTS USING THEIR PRIVATE MOTOR VEHICLES ON UKRI BUSINESS

#### 1. Principles

Whilst using their private vehicle on UKRI business (or travelling as an official passenger in another claimant's vehicle) an employee is deemed to be in the course of their duty for the purpose of the injury benefit provisions of the UKRI Injury Benefits Scheme. Details of this scheme can be found in the UKRI Pension Scheme Rule Book.

They are also covered by the Social Security Act 1975, subject to the decision of the Statutory Authorities in a particular case.

In other respects provision for injury or death due to accident while using a private motor vehicle on official business is the claimant's own responsibility.

#### 2. Insurance

2.1 All claimants using their private motor vehicles on UKRI business must satisfy the following insurance conditions:

- 2.1.1 they must have a valid motor insurance policy for the vehicle which insures the holder against liability in respect of any third party;
- 2.1.2 the insurance policy must include a clause permitting the owner to use the vehicle for business purposes. If the vehicle is not owned by the claimant, the insurance policy should specifically cover the use of the vehicle on UKRI business

#### 2.2 Ownership

To qualify for motor mileage allowance(s) the following will be regarded as the employee's private vehicle:

- 2.2.1 a vehicle owned or being bought on hire purchase and registered in the claimant's name;
- 2.2.2 a vehicle hired by the claimant under a long term contract i.e. for at least a year;
- 2.2.3 a vehicle registered in the name of the employee's partner provided that:
  - 2.2.3.1 the normal insurance requirements (see 2 above) are fulfilled and the insurance specifically covers the use of the vehicle by the claimant on UKRI business
  - 2.2.3.2 the vehicle is available for use by the claimant on UKRI business whenever required and, for cars only, to carry official passengers.

#### 2.3 Formal undertaking

- 2.3.1 Before first using a private motor vehicle on official business every claimant must give a written undertaking by signing the declaration at Appendix 1a that he or she knows and understands the insurance requirements; that he or she is covered

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accordingly; and that he or she will immediately notify his or her Director (or nominee) of any change in insurance cover which results in less than the rules require.

**TRAVEL, SUBSISTENCE AND EXPENSES**  
**Appendix 1a - Formal undertaking letter**

To: The (Insert Name) UKRI

I ..... have received and read a copy of the  
'Insurance and ownership requirements to be fulfilled by claimants using their private motor  
vehicles on UKRI business' section of the UKRI Travel and Subsistence and Expense Policy  
(Appendix 1).

I understand and accept these requirements as governing the use of my motor vehicle(s) on  
official UKRI business and, in agreeing to comply with them, undertake to ensure that I am  
adequately insured and to advise my Director (or nominee) immediately of any change which  
means that the insurance falls short of what is required, under the UKRI Travel, Subsistence and  
Expenses Policy.

Signed.....

Date.....

Location.....

**APPENDIX 2 - Expenses allowances with effect from 1 January 2014**



## TRAVEL, SUBSISTENCE AND EXPENSES

### 1. Mileage allowances for the use of privately owned vehicles (section 4.8)

HM Revenue & Custom Mileage rates will be reviewed annually.

	First 10,000 business miles in tax year	Each business mile over 10,000 in the tax year
Cars and vans	45p	25p
Motorcycles	24p	24p
Bicycles	20p	20p

The above rates include all expenses incurred in the use of a vehicle including fuel.

### 2. Passenger Supplement – cars and vans (section 4.10)

Per passenger per business mile for carrying fellow employees in a car or van on journeys which are also work journeys for them.	5p
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### 3. Maximum accommodation rates in the UK (section 5.1)

London and Edinburgh (including breakfast)	Maximum £170 inc. VAT per night
Elsewhere in the UK (including breakfast)	Maximum £120 inc. VAT per night
Staying with friends or relatives *	Flat rate £25 per night

\* this taxable allowance should be claimed via the taxable expenses claim process

### 4. Maximum meals expenses in the UK (section 6.1)

Total per day for lunch and evening meal	£40 inc. VAT
Breakfast meal limit (where not included in B&B tariff)	£7.50 inc. VAT
Lunch meal limit	£15 inc. VAT
Evening meal limit	£25 inc. VAT

### 5. Personal Incidental Expenses (section 6.3)

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Per 24 hour period	£5 inc. VAT
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## TRAVEL, SUBSISTENCE AND EXPENSES **APPENDIX 3 - Overnight accommodation standards**

### **STANDARDS OF OVERNIGHT ACCOMMODATION NORMALLY EXPECTED BY UKRI CLAIMANTS ON SHORT VISITS**

1. Single occupancy rooms with:
  - en suite facilities (shower or bath)
  - TV
  - tea/coffee making facilities
  - a telephone in the room
  - internet access in the room is desirable; costs will be reimbursed provided that there is a demonstrable business need
2. There should be adequate space and where it is necessary to work in the room, facilities (light, writing surface, telephone, etc.) for doing this.
3. The accommodation should have satisfactory personal security arrangements and adequate emergency procedures.
4. Restaurant facilities should be available either on the premises or locally, offering full breakfast and a reasonably priced menu for lunch and dinner.
5. Extras such as newspapers, room service, mini-bar, film/DVD hire should be met by the claimant - please note this list is not exhaustive.

#### **Please note:**

Claimants with special requirements, e.g. for managing a disability or complying with a religious obligation, are asked to ensure that these needs will be able to be met before any overnight accommodation is booked. In case of difficulty please contact your UKRI HR team. Any personal information provided in these circumstances would, of course, be treated as confidential.